

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

Attorney Docket No.	790001-2002
First Inventor	Yoshitaka Tsunashima
Title	Semiconductor Device Having a Gate Insulating Film Structure Including an Insulating Film Containing Metal, Silicon and Oxygen and Manufacturing Method Thereof
Express Mail Label No.	EL742673815US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 54]
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix.
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 17]
5. ☐ Oath or Declaration [Total Pages 2]
a. ☒ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76.

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
a. ☐ Computer Readable Form (CFR)
b. Specification sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & documents(s))
10. ☐ 37 CFR 3.73(b) Statement
☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☒ Certified Copy of Priority Document(s) - Japan Patent Appln.
(if foreign priority is claimed) No. 2000-066960
16. ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i).
Applicant must attach from PTO/SB/35 or its equivalent.
17. ☒ Other: Claim of Priority

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

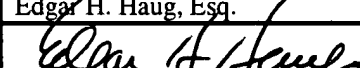
<input type="checkbox"/> Continuation	<input type="checkbox"/> Divisional	<input type="checkbox"/> Continuation-in-part (CIP)	of prior application No.: _____ /
Prior application information:			Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon which a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☐ Correspondence address below

Name	Edgar H. Haug, Esq. FROMMER LAWRENCE & HAUG LLP		
Address	745 Fifth Avenue		
City	New York	State	NY
Zip Code	10151		
Country	U.S.A.	Telephone	(212) 588-0800
Fax	(212) 588-0500		

Name (Print/Type)	Edgar H. Haug, Esq.	Registration No. (Attorney/Agent)	29,306
Signature		Date	March 9, 2001

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.
These are the fees effective October 1, 2000.
Small Entity payments must be supported by a small entity statement,
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

Complete if Known

Application Number	Not Yet Known
Filing Date	March 9, 2001
First Named Inventor	Yoshitaka Tsunashima
Examiner Name	Not Yet Known
Group/Art Unit	Not Yet Known
Attorney Docket No.	790001-2002

TOTAL AMOUNT OF PAYMENT

(\$)

METHOD OF PAYMENT

1. ☐

The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Name

Frommer Lawrence & Haug LLP

Deposit Account Number

50-0320

☒ Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed

☒ Check

☐ Money Order

☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					\$710.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claim	Fee from below	Fee Paid
20	-20** = 0	0	0
Ind. Claims	-3** = 12	80	960.00
Multiple Dependent	X	0	0

** or number previously paid, if greater; for reissues, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	130	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent
107	490	207	245	Plant filing fee
SUBTOTAL (2)				\$960.00

FEE CALCULATION

3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205		Surcharge - late filing fee or oath	0
127	50	227	25	Surcharge - late provisional filing fee or Cover sheet	0
139	130	139	130	Non-English specification	0
147	2,520	147	2,520	For filing a request of reexamination	0
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	0
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	0
115	110	215	55	Extension for reply within first month	0
116	390	216	195	Extension for reply within second month	0
117	890	217	445	Extension for reply within third month	0
118	1,390	218	695	Extension for reply within fourth month	0
128	1,890	228	945	Extension for reply within fifth month	0
119	310	219	160	Notice of Appeal	0
120	310	220	155	Filing a brief in support of an appeal	0
121	270	221	135	Request for oral hearing	0
138	1,510	138	1,510	Petition to institute a public use Proceeding	0
140	110	240	55	Petition to revive - unavoidable	0
141	1,240	241	620	Petition to revive- unintentional	0
142	1,240	242	620	Utility issue fee (or reissue)	0
143	440	243	220	Design issue fee	0
144	600	244	300	Plant issue fee	0
122	130	122	130	Petitions to the Commissioner	0
123	50	123	50	Petitions related to provisional Applications	0
126	240	126	240	Submission of Information Disclosure Statement	0
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	0
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	0
Other fee (specify)					0
Other fee (specify)					0
SUBTOTAL (3)					\$40.00

* Reduced by Basic Filing Fee

SUBMITTED BY

Typed or Printed Name

Edgar H. Haug, Esq.

Signature

Edgar H. Haug

Date

3/9/01

Complete (if applicable)

Reg. Number

29,309

Deposit Account

50-0320

IN THE UNITED STATES PATENT AND TRADEMARK OFFICEAPPLICATION FOR LETTERS PATENT

TITLE: SEMICONDUCTOR DEVICE HAVING A GATE INSULATING
FILM STRUCTURE INCLUDING AN INSULATING FILM
CONTAINING METAL, SILICON AND OXYGEN AND
MANUFACTURING METHOD THEREOF

INVENTORS: Yoshitaka Tsunashima, et al.

54 Pages Specification

20 Claims (pages 55 to 63, including 15 independent claims)

62 Figures (17 sheets)(Figs. 1A, 1B, 2A, 2B, 2C, 2D, 2E, 2F, 2G, 2H, 2I, 3, 4A,
4B, 4C, 4D, 5A, 5B, 5C, 5D, 5E, 5F, 5G, 5H, 6, 7A, 7B, 7C, 7D, 7E, 7F, 8A,
8B, 8C, 9A, 9B, 9C, 9D, 9E, 10A, 10B, 10C, 10D, 10E, 11A, 11B, 11C, 12A,
12B, 12C, 13A, 13B, 13C, 14A, 14B, 14C, 15A, 15B, 15C, 16A, 16B & 16C)

1 Page Abstract (p. 64)

EXPRESS MAIL

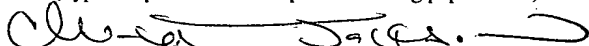
Mailing Label Number: EL742673815US

Date of Deposit: March 9, 2001

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United States Postal Service "Express Mail Post Office to
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above and is addressed to: Assistant Commissioner for Patents,
Washington, DC 20231.

CHARLES JACKSON

(Typed or printed name of person mailing paper or fee)


(Signature of person mailing paper or fee)

Edgar H. Haug
Reg. No. 29,309
Grace L. Pan
Reg. No. 39,440
Dexter T. Chang
Reg. No. 44,071

FROMMER LAWRENCE & HAUG LLP
745 Fifth Avenue
New York, New York 10151
Phone: 212-588-0800
Fax: 212-588-0500

CERTIFICATE OF MAILING - SEPARATE PAPER - PATENT APPLICATION

Attorney Docket No. : 790001-2002

Title : **SEMICONDUCTOR DEVICE HAVING A GATE
INSULATING FILM STRUCTURE INCLUDING AN
INSULATING FILM CONTAINING METAL, SILICON
AND OXYGEN AND MANUFACTURING METHOD
THEREOF**

Filed : Herewith

Applicants : Tsunashima et al.

Mailed: via "Express Mail Label # EL742673815US

I hereby certify that the Patent Application for the above-referenced application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to:

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

CHARLES JACKSON
(Type/printed name of person mailing paper or fee)

Charles Jackson
Signature

JC972 U.S. PTO
09/803265
03/09/01

PATENT
790001-2002

1c971 U.S. PTO
09/803265
03/09/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Yoshitaka Tsunashima et al.

U.S. Serial No. : Not Known Yet

Filing Date : March 9, 2001

For : **SEMICONDUCTOR DEVICE HAVING A GATE
INSULATING FILM STRUCTURE INCLUDING AN
INSULATING FILM CONTAINING METAL, SILICON
AND OXYGEN AND MANUFACTURING METHOD
THEREOF**

745 Fifth Avenue
New York, New York 10151

EXPRESS MAIL

Mailing Label Number: EL742673815US

Date of Deposit: March 9, 2001

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CHARLES JACKSON
(Typed or printed name of person mailing paper or fee)

Charles Jackson
(Signature of person mailing paper or fee)

CLAIM OF PRIORITY

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicants hereby claim of priority under 35 U.S.C. §119 and for 120, from
Japanese Application No. 2000-066960, a certified copy of which is enclosed.

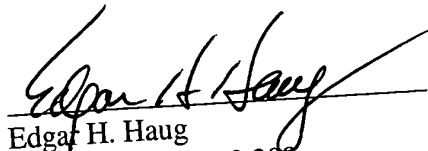
BAV0685

Acknowledgment of the claim of priority and of the receipt of said certified
copies are respectfully requested.

Respectfully submitted,

FROMMER LAWRENCE & HAUG LLP
Attorneys for Applicants

By:


Edgar H. Haug
Registration No. 29,309
Tel. (212) 588-0800
Fax (212) 588-0500